



IFW

PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/708,618
		Filing Date	March 16, 2004
		First Named Inventor	Susumu Noda
		Art Unit	2874
		Examiner Name	(to be assigned)
Total Number of Pages in This Submission	104	Attorney Docket Number	39.040

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Judge Patent Firm
Signature	
Date	June 14, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name			
Signature		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

App. No.	:	10/708,618	Confirmation No. 2617
Applicant	:	Susumu Noda, et al.	
Filed	:	March 16, 2004	
Tech. Cntr./Art Unit	:	2874	
Examiner	:	(To be assigned)	
Docket No.	:	39.040	
Customer No.	:	29453	

Honorable Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This constitutes an Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98. The attached documents listed on the accompanying Form PTO/SB/08A are hereby brought to the Examiner's attention in the patent application identified above.

REMARKS

Of the presently submitted references listed on Form PTO/SB/08A, Cite Nos. F1 and F2 are not in English.

Concise Explanation of Relevance/Copy of Translation **Pursuant to 37 C.F.R. § 1.98(a)(3)**

A concise explanation of the relevance of Cite No. F1 is incorporated into the specification in the present application at paragraph [0006] (and of Cite No. O1 as well, at paragraph [0005]).

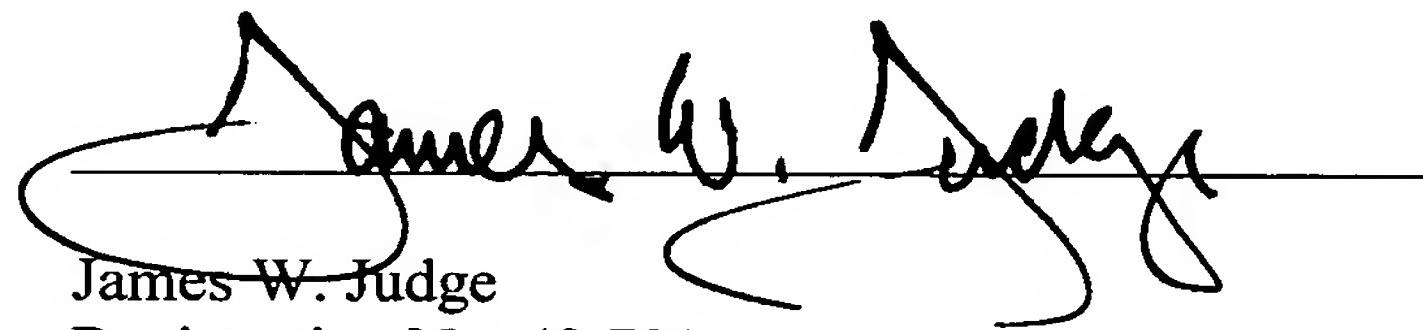
Furthermore, an English abstract of Cite No. F1 is available on the Japanese Patent Office website through Patent Abstracts of Japan, and the corresponding abstract is attached to the front of this reference.

As to the relevance of Cite No. F2, the English abstract provided by WIPO in the International Publication (No. WO 03/081304 A1) of this reference is available and is attached to the front of the reference.

The Examiner is respectfully requested to consider these references, and to indicate so on the accompanying Form PTO/SB/08A and make the document of record in the present application.

Respectfully submitted,

June 14, 2004



James W. Judge
Registration No. 42,701

JUDGE PATENT FIRM
Rivière Shukugawa 3rd Fl.
3-1 Wakamatsu-cho
Nishinomiya-shi, Hyogo 662-0035
JAPAN
Telephone: **800-784-6272**
Facsimile: 425-944-5136
e-mail: jj@judgepat.jp



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
Trademark Office - U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
is required to respond to a collection of information unless it contains a valid OMB

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
is not required to respond to a collection of information unless it contains a valid OMB

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	10/708,618
				Filing Date	March 16, 2004
				First Named Inventor	Susumu Noda
				Group Art Unit	2874
				Examiner Name	(To be assigned)
Sheet	2	of	2	Attorney Docket Number	39.040

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher city and/or country where published.	T2
	O1	A. Chutinan and S. Noda, "Waveguides and waveguide bends in two-dimensional photonic crystal slabs," Physical Review B, Vol. 62, No. 7, 2000, pp. 4488-4492.	
	O2	K. Srinivasan and O. Painter, "Momentum space design of high-Q photonic crystal optical cavities," OPTICS EXPRESS, Vol. 10, No. 15, 29 July 2002 , pp. 670-684.	
	O3	S. Noda, et al., "Trapping and emission of photons by a single defect in a photonic bandgap structure," Nature, Vol. 407, 5 October 2000, pp. 608-610.	
	O4	O. Painter, et al., "Two-Dimensional Photonic Band-Gap Defect Mode Laser," SCIENCE, Vol. 284, 11 June 1999, , pp. 1819-1821.	
	O5	J. Vuckovic, et al., "Design of photonic crystal microcavities for cavity QED," PHYSICAL REVIEW E, Vol. 65, pp. 016608-1 to 016608-11.	
	O6	O. Painter, et al., "Defect modes of a two-dimensional photonic crystal in an optically thin dielectric slab," J. Opt. Soc. Am. B, Vol. 16, No. 2, February 1999, pp. 275-285.	
	O7	Y. Akahane, et al., "Design of a channel drop filter by using a donor-type cavity with high-quality factor in a two-dimensional photonic crystal slab," Applied Physics Letters, Vol. 82, No. 9, pp. 1341-1343.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.